



03-22-01

2185#4
03-26-01

Express Mail mailing label no: EL556464017US

Date of Deposit March 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D. C. 20231.

Antoinette Fabris

Antoinette Fabris

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Cazalet et al.

Docket No.: APXX0002

Serial No. : 09/613,685

Art Unit: 2751

Filed: July 11, 2001

Examiner: Unassigned

**Title: METHOD AND APPARATUS OF MANAGING EPHEMERAL, FUNGIBLE
COMMODITIES BASED UPON REAL-TIME FORWARD**

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

RECEIVED
MAR 26 2001
Technology Center 2751

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.97(b), or
(within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either a:
 - ☒ Certification under 37 CFR 1.97(e), or
 - ☐ a \$220.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
 - ☐ Certification under 37 CFR 1.97(e), and
 - ☐ a \$220.00 fee under 37 CFR 1.17(d)(2)(ii), and
 - ☐ a \$130.00 petition fee set forth in 37 CFR 1.17(i)(1)
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

(X) The Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. 07-1445 (Order No. APXX0002). A copy of this sheet is enclosed for accounting purposes.

(X) Applicant(s) submit herewith Form PTO 1449 -- Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.25.

() A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 156(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

Respectfully Submitted,



Michael Glenn
Attorney For Applicant
Reg. No. 30,176

Customer No. 22862

PATENT



In re Application of: Cazalet et al.

Serial No. : 09/613,685

Filed: 7/11/01

Title: METHOD AND APPARATUS OF MANAGING EPHEMERAL,
FUNGIBLE COMMODITIES BASED UPON REAL-TIME FORWARD

Docket No. : APXX0002

Art Unit: 2751

Examiner: Unassigned

**CERTIFICATION FOR
INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§1.97(e)**

RECEIVED
MAR 26 2001
Technology Center 2100

Commissioner of Patents
and Trademarks
Washington, DC 20231

Dear Sir:

A certification is being made for the Information Disclosure Statement accompanying this certification.

CERTIFICATION

I, the person signing below, certify

(x) that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. (37 CFR 1.97(e)(1))

() that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making

reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 CFR 1.97(e)(2).

The person making this certification is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual designated in §1.56(c)
- ☒ in the attorney's file

the attorney who signs below on the basis on the information in the attorney's files.

Respectfully submitted,



Michael A. Glenn
Reg. No. 30,176

Customer No. 22862